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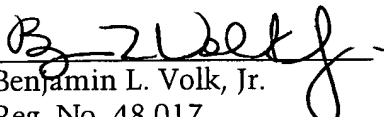
Attorney Docket No. 36194/42366

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

CERTIFICATE OF FIRST CLASS MAILING

I certify that the documents referred to as enclosed herein are being deposited on April 26, 2004, with the U.S. Postal Service as First Class Mail under 37 C.F.R. 1.8 and are addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

  
Benjamin L. Volk, Jr.  
Reg. No. 48,017

In re application of:  
Tully et al.

Serial No.: 10/692,067

Filed: October 22, 2003

For: System And Method For The Automated  
Brokerage Of Financial Instruments

Examiner: Not Yet Assigned

Group Art Unit: 3628

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

PETITION UNDER 37 CFR 1.10(c) TO CORRECT FILING  
DATE AND DATE IN DISCREPANCY

On April 19, 2004, Applicant received the Filing Receipt mailed April 15, 2004 (copy enclosed) for the above-identified patent application. This filing receipt listed the application's filing date as 10/23/2003. However, the proper filing date for this application is 10/22/2003, as will be explained below. In particular, Applicant notes that the "date-in" field on the Express Mail mailing label for this application identifies the filing date as 10/22/2003.

37 CFR 1.10(c) governs situations such as these. It reads as follows:

Any person filing correspondence under this section that was received by the Office and delivered by the "Express Mail Post Office to Addressee" service of the

USPS, who can show that there is a discrepancy between the filing date accorded by the Office to the correspondence and the date of deposit as shown by the "date-in" on the "Express Mail" mailing label or other official USPS notation, may petition the Commissioner to accord the correspondence a filing date as of the "date-in" on the "Express Mail" mailing label or other official USPS notation, provided that:

- (1) The petition is filed promptly after the person becomes aware that the Office has accorded, or will accord, a filing date other than the USPS deposit date;
- (2) The number of the "Express Mail" mailing label was placed on the paper(s) or fee(s) that constitute the correspondence prior to the original mailing by "Express Mail"; and
- (3) The petition includes a true copy of the "Express Mail" mailing label showing the "date-in", and of any other official notation by the USPS relied upon to show the date of deposit.

Pursuant to 37 CFR 1.10(c), Applicant hereby petitions to correct the filing date for this application to the date of October 22, 2003.

In support of 37 CFR 1.10(c)(1), the undersigned hereby notes that he first became aware of the USPTO's incorrect assignation of this application's filing date on April 22, 2004. He became aware of this error upon review of the filing receipt mailed by the USPTO on April 15, 2004 and received by the law firm office of the undersigned on April 19, 2004. Applicant respectfully submits that this petition has been submitted promptly after becoming aware of the USPTO's error.

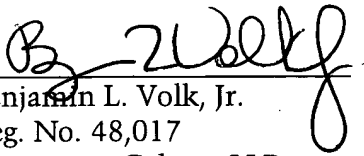
In support of 37 CFR 1.10(c)(2), Applicant respectfully submits that the number of the "Express Mail" mailing label (EV328618216US) was placed on all of the papers that constitute the application filing on October 22, 2003. As evidence of this, enclosed with this petition are photocopies of the papers deposited with the USPS in Express Mail package EV328618216US. Applicant has highlighted the locations at which EV328618216US appears. Important among these papers is the first page of the application enclosed herewith that includes the Express Mail number EV328618216US. Also among these papers are copies of the originally-filed drawings, each with the Express Mail number EV328618216US included thereon. Other papers that include the Express Mail number EV328618216US are pages 1 and 2 of the "Utility Patent Application Transmittal", and page 1 of the Declaration.

In support of 37 CFR 1.10(c)(3), Applicant respectfully submits a true copy of the "Express Mail" mailing label for the above-identified patent application that shows the "date-

in" date of October 22, 2003. Applicant has highlighted the location on the Express Mail mailing label that shows this date-in date.

Therefore, having satisfied conditions (1)-(3) of 37 CFR 1.10(c), Applicant respectfully requests that the USPTO accord the above-identified patent application the correct filing date of October 22, 2003. Applicant believes there is no fee due for this filing. However, if a fee is due, the Commissioner for Patents is authorized to charge Deposit Account No. 20-0823. A duplicate copy of this Petition is enclosed for that purpose.

Respectfully submitted,

  
Benjamin L. Volk, Jr.  
Reg. No. 48,017  
Thompson Coburn LLP  
One US Bank Plaza  
St. Louis, Missouri 63101  
(314) 552-6000  
(314) 552-7000 (fax)



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APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/692,067	10/23/2003	3628	3018	36194/42366	62	90	11

10/22/2003

21888  
THOMPSON COBURN, LLP  
ONE US BANK PLAZA  
SUITE 3500  
ST LOUIS, MO 63101



CONFIRMATION NO. 7243

## UPDATED FILING RECEIPT



\*OC000000012369964\*

Date Mailed: 04/15/2004

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

### Applicant(s)

Michael James Tully, Maryland Heights, MO;  
Virgil Michael Scott, Wildwood, MO;  
Dwayne Oliver Randle, Bridgeton, MO;  
Gregory Paul Lembree, O'Fallon, MO;

### Domestic Priority data as claimed by applicant

### Foreign Applications

If Required, Foreign Filing License Granted: 04/14/2004

Projected Publication Date: 07/22/2004

Non-Publication Request: No

Early Publication Request: Yes

### Title

System and method for the automated brokerage of financial instruments

RECEIVED

APR 19 2004

IN REPLY TO USPTO

DOCKETED

APR 19 2004

Thompson Coburn LLP

Preliminary Class  
705



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Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

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Time 2:03 PM	Military Mail <input type="checkbox"/> 1st Day <input type="checkbox"/> 2nd Day <input type="checkbox"/> 3rd Day	Insurance Fee \$17.85
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No Delivery <input type="checkbox"/> Weekend <input type="checkbox"/> Holiday	Acceptance Clerk Initials [Signature]	Total Postage Fee \$17.85

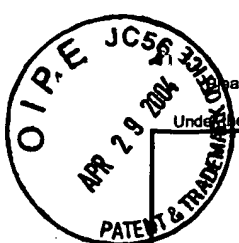
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Applicable through 10/31/2002. OMB 0651-0032

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under  
37 CFR 1.53(b))

Attorney Docket No. 36194/42366

First Inventor Tully et al.

Title System And Method For The Automated Brokerage Of  
Financial Instruments

Express Mail No. EV328618216US

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent  
application contents.

1. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
2. ☒ Specification [Total Pages 99]  
(preferred arrangement set forth below)
  - ☒ Descriptive title of the invention
  - ☐ Cross Reference to Related Applications
  - ☐ Statement Regarding Fed sponsored R & D
  - ☐ Reference to sequence listing, a table,  
or a computer program listing appendix
  - ☒ Background of the Invention
  - ☒ Brief Summary of the Invention
  - ☒ Brief Description of the Drawings (if filed)
  - ☒ Detailed Description
  - ☒ Claim(s)
  - ☒ Abstract of the Disclosure
3. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 39]
4. Oath or Declaration [Total Pages 3]
  - a. ☒ Newly executed (original or copy)
  - b. ☐ Unexecuted
  - c. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 17 completed)
    - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).

Mail Stop Patent Application  
Commissioner for Patents  
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5. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)
6. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identify of above copies

**ACCOMPANYING APPLICATION PARTS**

7. ☒ Assignment Papers (cover sheet & document(s))
8. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)
9. ☐ English Translation Document (if applicable)
10. ☐ Information Disclosure ☐ Copies of IDS Citations  
Statement (IDS)/PTO-1449
11. ☐ Preliminary Amendment
12. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
13. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
14. ☐ Nonpublication Request under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35  
or its equivalent
15. ☐ Certificate of Express Mail
16. ☐ Other: \_\_\_\_\_

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OCT 23 2003

Thompson Coburn LLP

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment,  
or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_  
Prior application information: Examiner: \_\_\_\_\_ Group Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is  
supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby  
incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted  
application parts.

**18. CORRESPONDENCE ADDRESS**

☒ Customer Number or Bar Code Label



or ☐ Correspondence address below

Name	Benjamin L. Volk, Jr.		Registration No. (Attorney/Agent)		#48,017
Address	Thompson Coburn LLP One US Bank Plaza, Suite 3500				
City	St. Louis	State	MO	Zip Code	63101-9928
Country	U.S.A.	Telephone	314-552-6000	Fax	314-552-7000

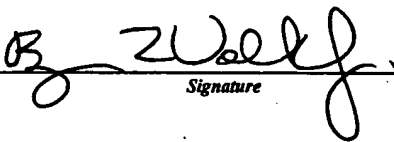
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PATENT APPLICATION FEE DETERMINATION RECORD				Application or Docket Number 36194/42366						
CLAIMS AS FILED - PART I				SMALL ENTITY		OR		OTHER THAN SMALL ENTITY		
(Column 1)		(Column 2)								
FOR	NUMBER FILED	NUMBER EXTRA	RATE	FEE		RATE				
BASIC FEE (37 CFR 1.16(a))									770.00	
TOTAL CLAIMS (37 CFR 1.16(c))	90 minus 20 =	70	x \$	=	0.00	OR	x \$18.00 =		1,260.00	
INDEPENDENT CLAIMS (37 CFR 1.16(b))	11 minus 3 =	8	x \$	=	0.00	OR	x \$86.00 =		688.00	
MULTIPLE DEPENDENT CLAIM PRESENT (37 CFR 1.16(d))			+	\$	=		OR	+	\$	=
* If the difference in column 1 is less than zero, enter "0" in column 2			TOTAL		0.00	OR	TOTAL		2,718.00	

- ☒ A check in the amount of \$2,718.00 is attached.
- ☒ The Commissioner is hereby authorized to charge and credit Deposit Account No. 20-0823 as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of \$
- ☒ Credit any overpayment.
- ☒ Charge any additional fee required.

  
Signature

Dated: October 22, 2003

Benjamin L. Volk, Jr., Reg. No. 48,017  
Thompson Coburn LLP  
One US Bank Plaza, Suite 3500  
St. Louis, Missouri 63101-9928  
314-552-6000  
FAX 314-552-7000

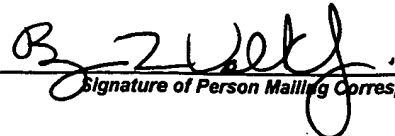


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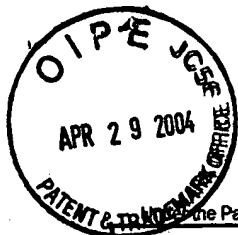
I certify that the document and fee is being deposited on October 22, 2003, with the U.S. Postal Service as Express Mail under 37 C.F.R. 1.10 and is addressed to MAIL STOP PATENT APPLICATION, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Express Mail No. EV328618216US

  
Signature of Person Mailing Correspondence

Benjamin L. Volk, Jr.

Typed or Printed Name of Person Mailing Correspondence



PTO/SB/01 (03-01)

Approved for use through 10/31/2002. OMB 0851-0037

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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<b>DECLARATION FOR UTILITY, DESIGN, DIVISIONAL AND CONTINUATION-IN-PART PATENT APPLICATIONS (37 CFR 1.63)</b>		<b>Express Mail No.</b>	EV328618216US
		<b>Attorney Docket Number</b>	36194/42366
		<b>First Named Inventor</b>	Tully et al.
<input checked="" type="checkbox"/> Declaration Submitted with Initial Filing		<b>COMPLETE IF KNOWN</b>	
<input type="checkbox"/> Supplemental Declaration Submitted	<input type="checkbox"/> Declaration Submitted for Continuation-In-Part Filing	<input type="checkbox"/> Declaration Submitted for Divisional Filing	
		<b>Application Number</b>	Not Yet Assigned
		<b>Filing Date</b>	Herewith
		<b>Group Art Unit</b>	Not Yet Assigned
		<b>Examiner Name</b>	Not Yet Assigned

As a below named inventor, I hereby declare that:

My residence, mailing address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

System And Method For The Automated Brokerage Of Financial Instruments

(Title of the Invention)

the specification of which

☒ is attached hereto

OR

☐ was filed on (MM/DD/YYYY)

as United States Application Number or PCT International

Application Number

and was amended on (MM/DD/YYYY)

(if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				YES	NO
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:

[Page 1 of 2]

2201857

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## DECLARATION — Utility or Design Patent Application

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21888

OR ☐ Correspondence address below

Name Benjamin L. Volk, Jr.



21888

Address Thompson Coburn LLP, One US Bank Plaza, Suite 3500

PATENT TRADEMARK OFFICE

City St. Louis

State MO

ZIP 63101-9928

Country USA

Telephone 314-552-6000

Fax 314-552-7000

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that wilful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such wilful false statements may jeopardize the validity of the application or any patent issued thereon.

NAME OF SOLE OR FIRST INVENTOR :

☐ A petition has been filed for this unsigned inventor

Given Name  
(first and middle [if any])

Michael James

Family Name  
or Surname

Tully

Inventor's  
Signature

Date

10/22/03

Residence: City Maryland Heights

State MO

Country USA

Citizenship United Kingdom

Mailing Address 12136 Wesmeade

City Maryland Heights

State MO

ZIP 63043

Country USA

NAME OF SECOND INVENTOR :

☐ A petition has been filed for this unsigned inventor

Given Name  
(first and middle [if any])

Virgil Michael

Family Name  
or Surname

Scott

Inventor's  
Signature

Date

10/22/03

Residence: City Wildwood

State MO

Country USA

Citizenship United States

Mailing Address 2527 Balaji Court

City Wildwood

State MO

ZIP 63011

Country USA

☒ Additional inventors are being named on the 1 supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.



Please type a plus sign (+) inside this box → ☐

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<b>DECLARATION</b>	<b>ADDITIONAL INVENTOR(S)</b> <b>Supplemental Sheet</b> Page 1 of 1
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Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Dwayne Oliver		Randle	
Inventor's Signature <i>Dwayne Oliver Randle</i>		Date 10/22/2003	
Residence: City	Bridgeton	State	MO
Country	USA		
Citizenship United States			
Mailing Address 11847 Brookington Drive			
Mailing Address			
City	Bridgeton	State	MO
ZIP	63044		
Country	USA		
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Gregory Paul		Lembree	
Inventor's Signature <i>Gregory Paul Lembree</i>		Date 10/22/03	
Residence: City	O'Fallon	State	MO
Country	USA		
Citizenship United States			
Mailing Address 759 Falcon Hill Trail			
Mailing Address			
City	O'Fallon	State	MO
ZIP	63366		
Country	USA		
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Inventor's Signature		Date	
Residence: City		State	
Country			
Citizenship			
Mailing Address			
Mailing Address			
City		State	
ZIP			
Country			

Burden Hour Statement: This form is estimated to take 21 minutes to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



PATENT

EXPRESS MAIL NO. EV328618216US

SYSTEM AND METHOD FOR THE AUTOMATED BROKERAGE  
OF FINANCIAL INSTRUMENTS

Field of the Invention:

The present invention relates to an automated electronic system for processing orders from investors for transactions of financial instruments and supplying financial account information to investors.

5

Background and Summary of the Invention:

In the present day, investors are discovering that computers and, in particular, computer networks such as the Internet, are a particularly useful tool for managing and tracking their financial investment portfolio. Whether it is an individual investor seeking to occasionally buy or sell stocks, bonds, or other financial instruments; a day trader conducting numerous such transactions each day; or a professional investor such as a licensed broker who manages the financial portfolios of numerous clients; access via a computer network to financial markets to conduct these transactions is now and increasingly more so in the future an important channel for execution of this business.

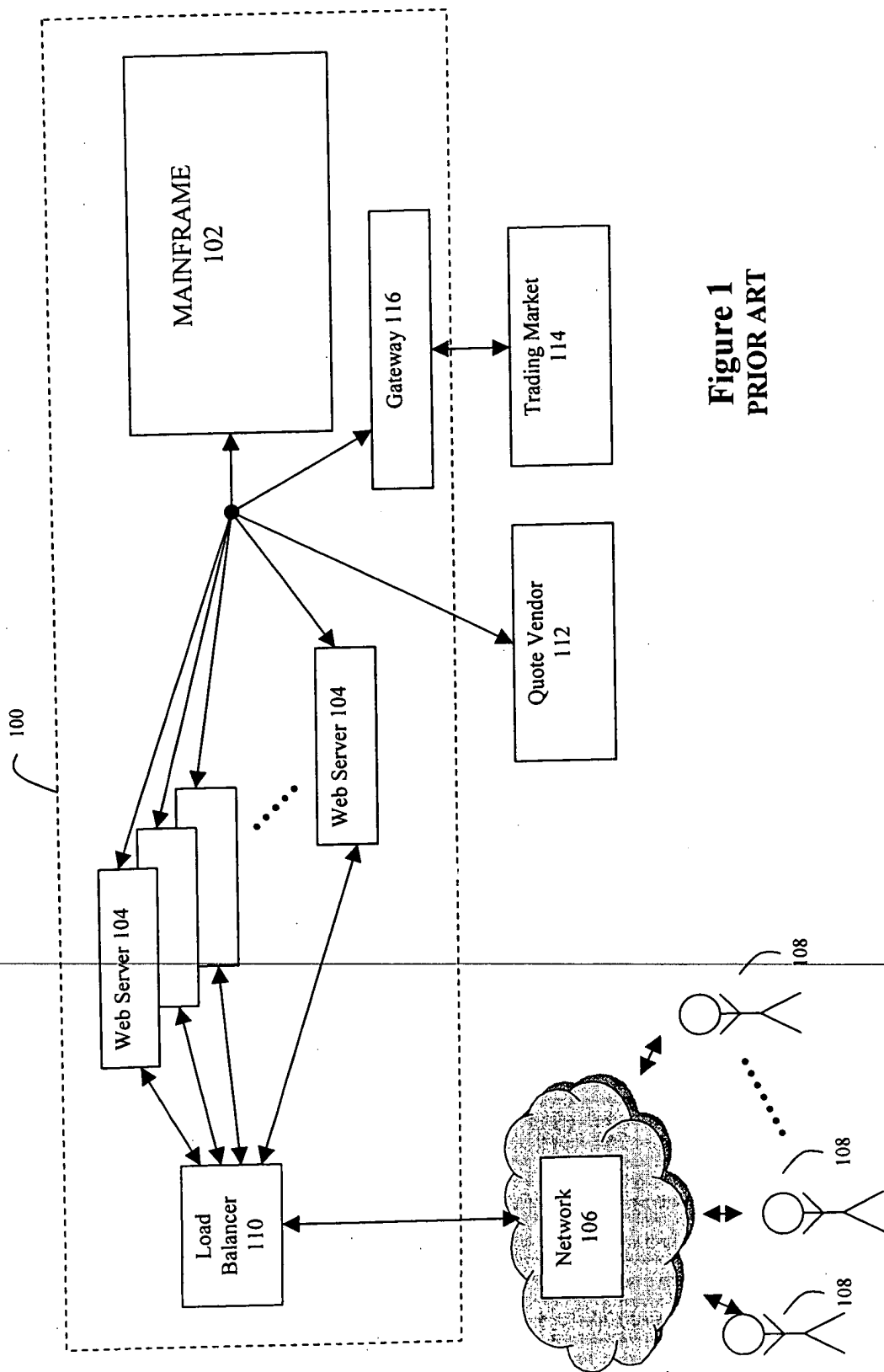
10

15

Thus, a need in the art has developed for an infrastructure that both supports access to the financial markets and provides fast

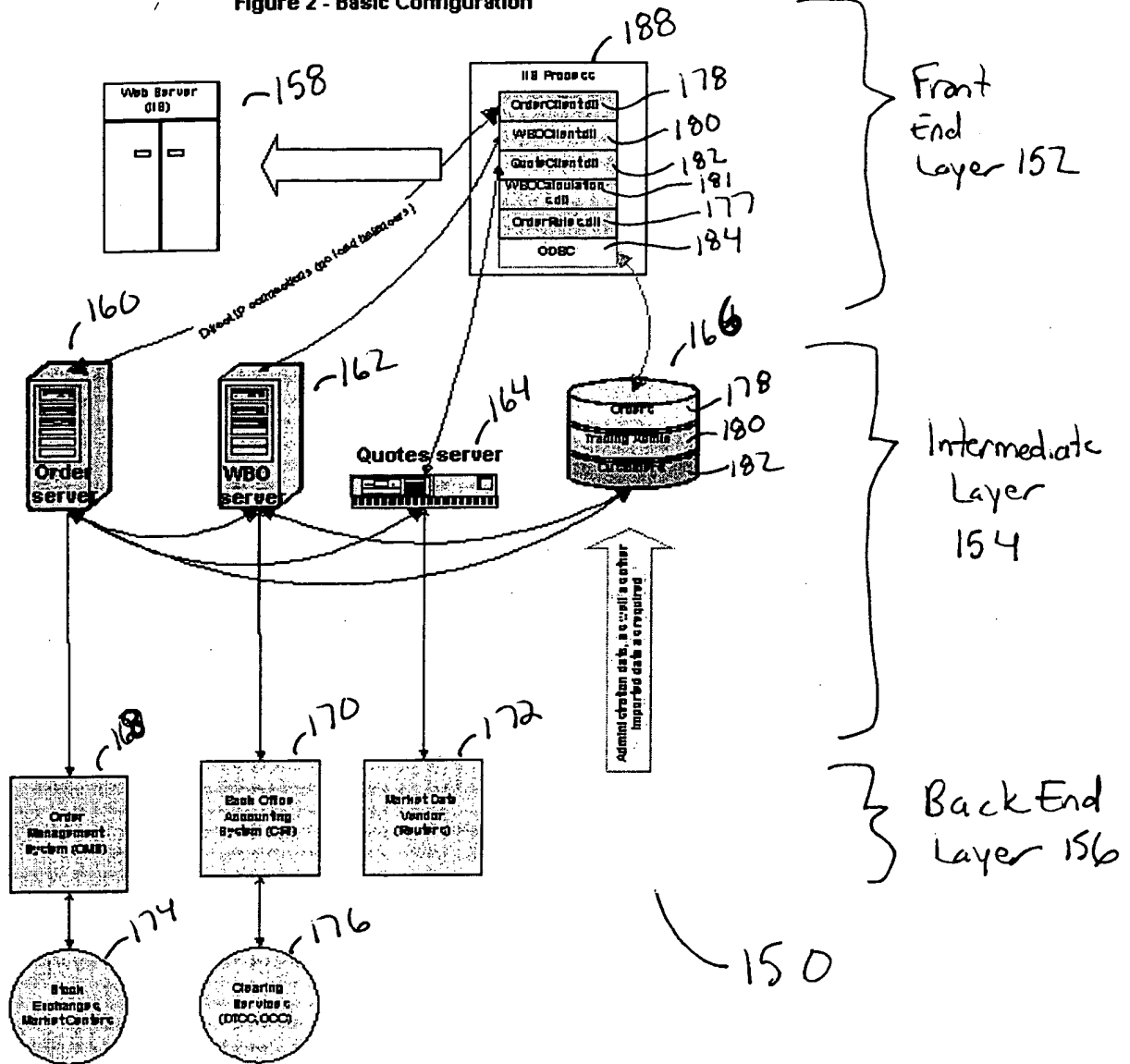


Title: System And Method For The Automated  
Brokerage Of Financial Instruments  
Inventor(s): Tully et al.  
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Figure 2 - Basic Configuration



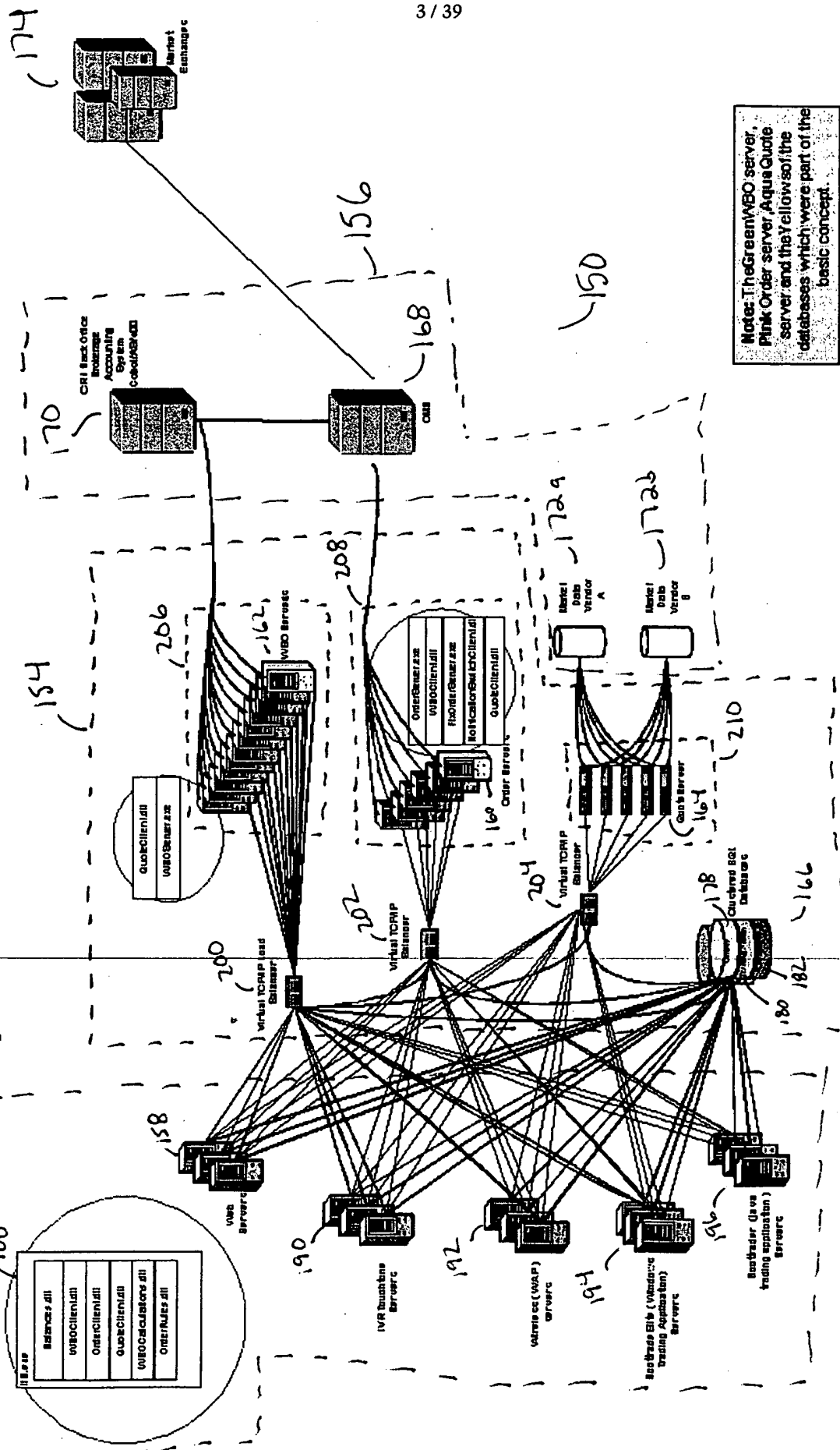


Figure 3



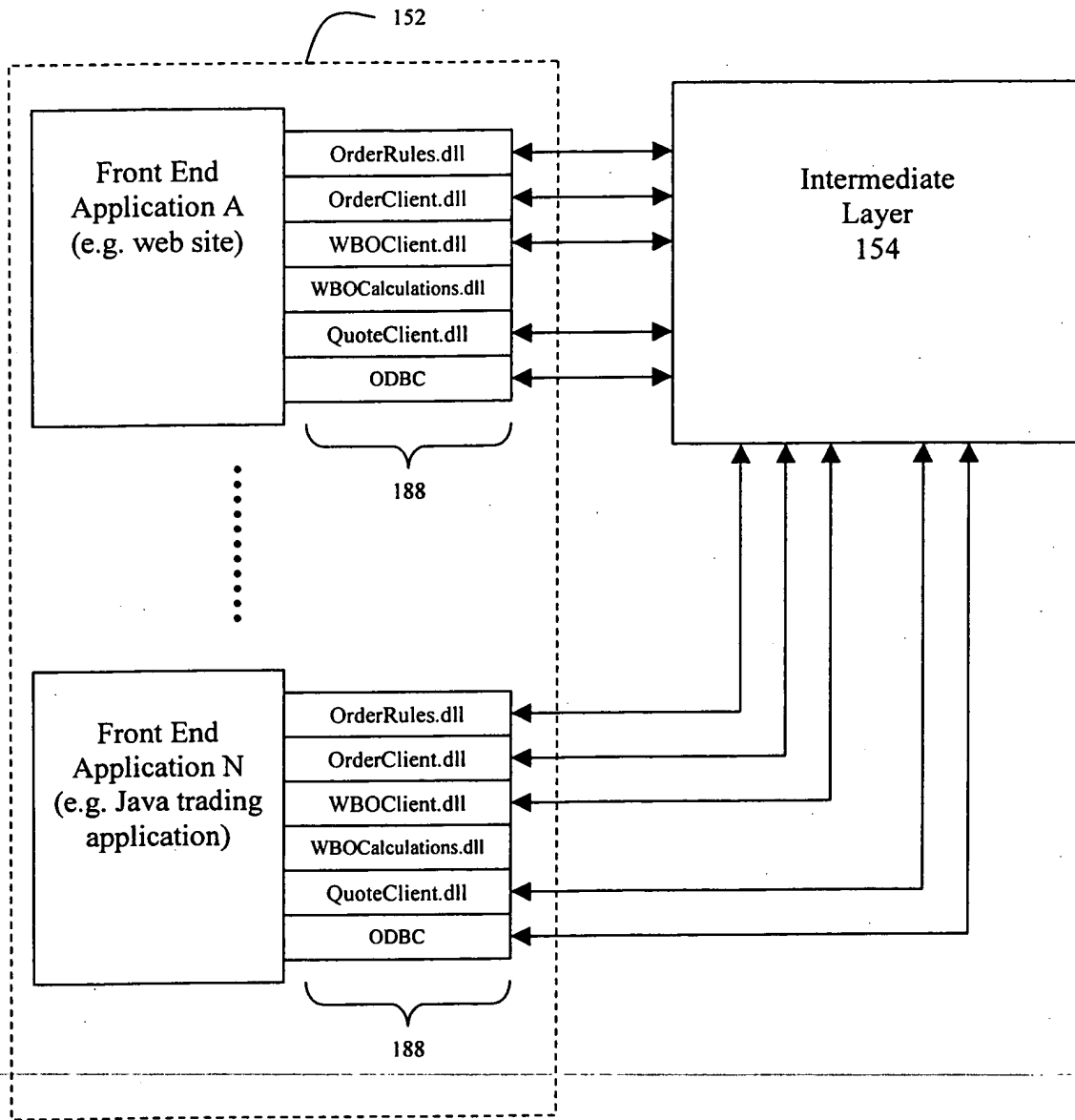
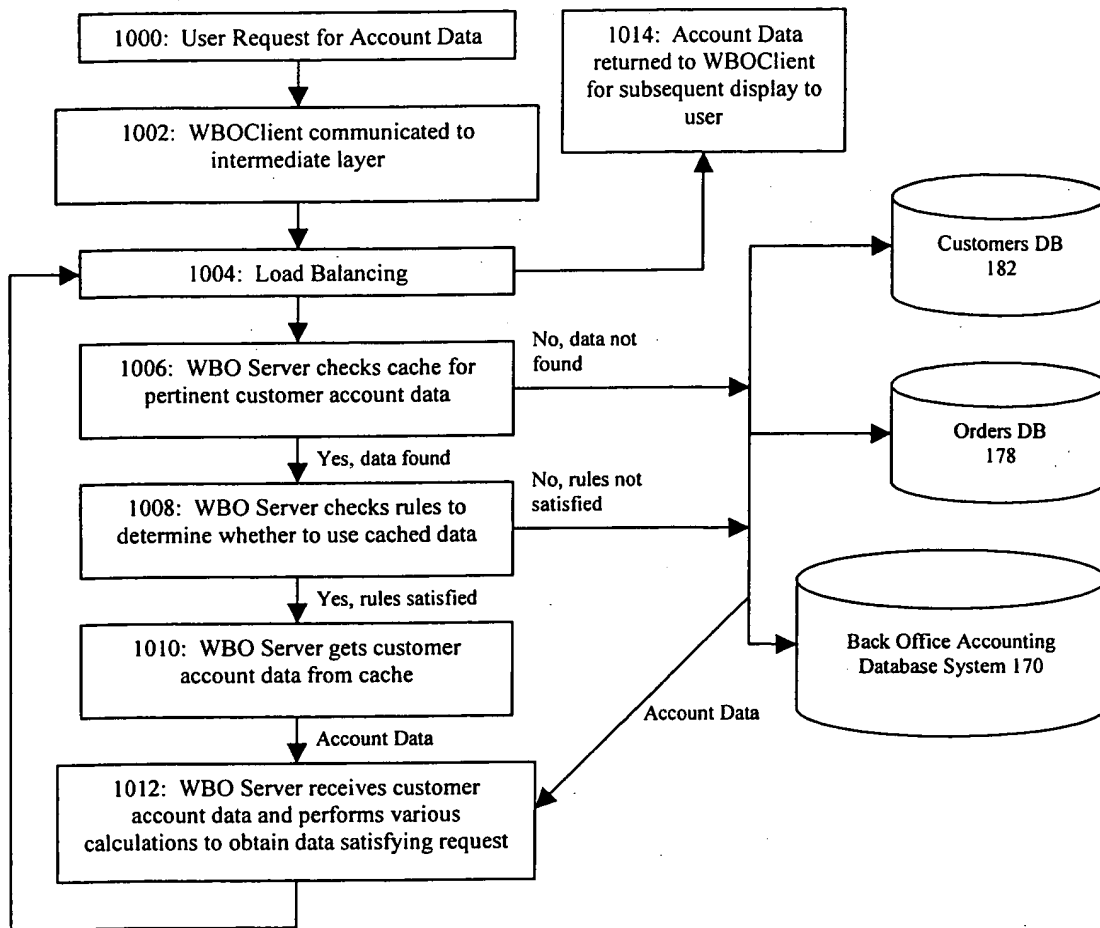
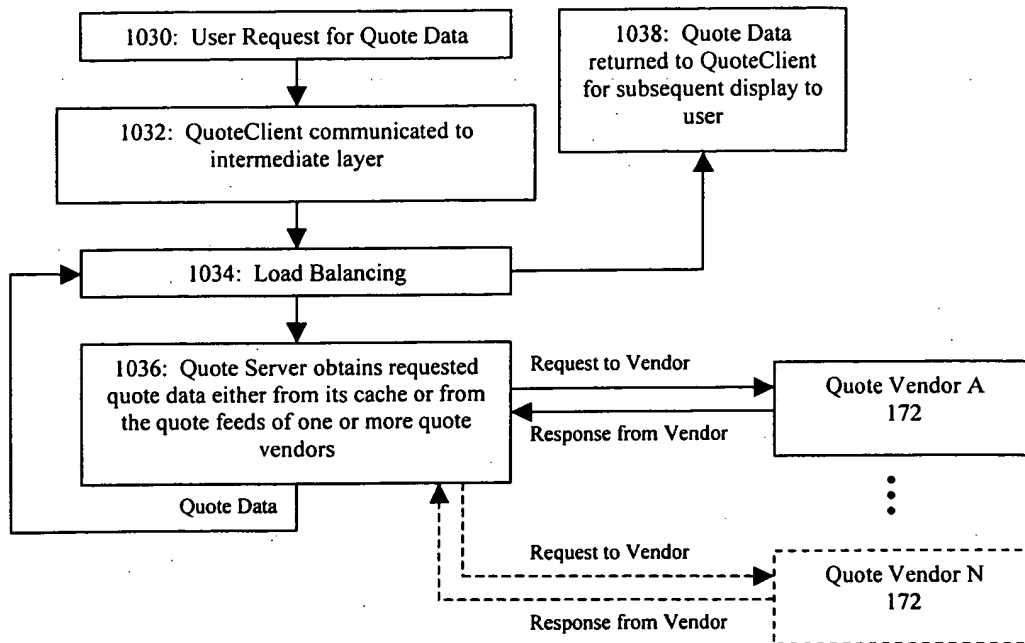


Figure 4

**Figure 5**



**Figure 6**

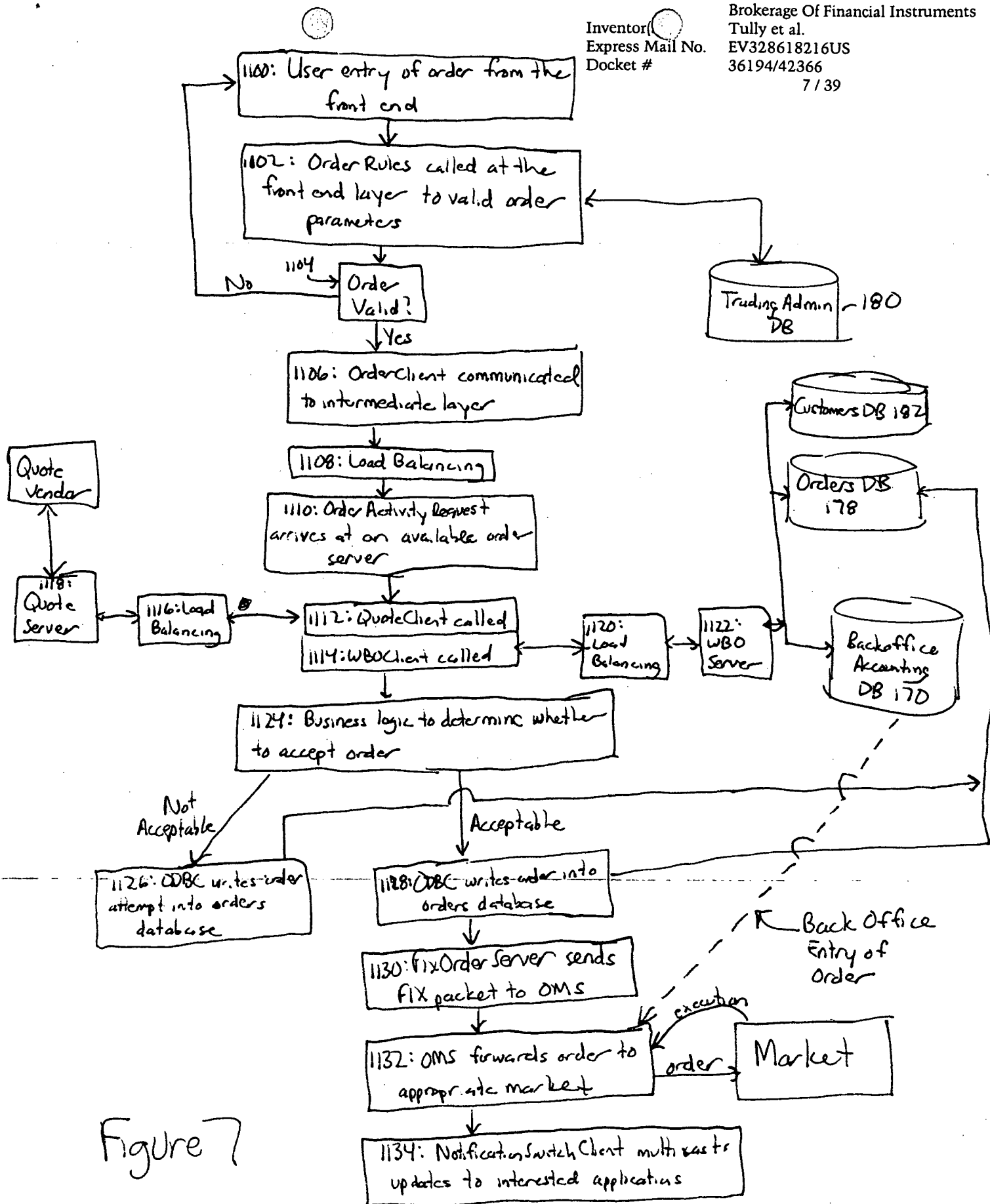
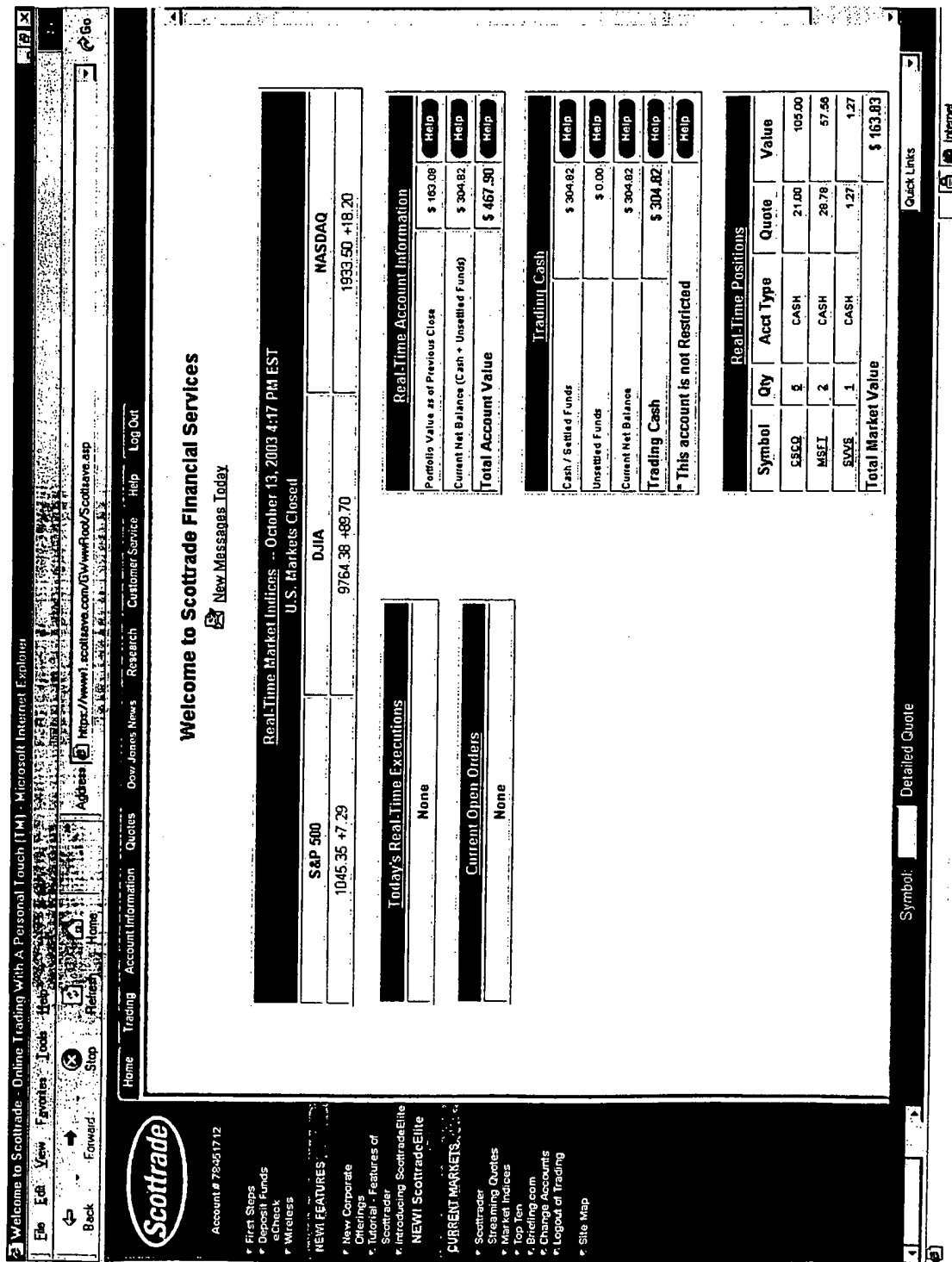


Figure 7

WBL  
 Cohan  
 Interface

Figure 8(a)

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10/14/2003

Web  
Customer  
Interface

Figure 8(c)

Welcome to Scottrade - Online Trading With A Personal Touch (TM) - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home

Address https://www1.scottrade.com/GVWwRoot/Scottrade.asp

Go

Home Trading Account Information Quotes Dow Jones News Research Customer Service Help Log Out

Account # 78651712

First Steps  
Deposit Funds  
eCheck  
Wireless  
NEW FEATURES  
New Corporate Offerings  
Tutorial: Features of Scottrade  
Introducing Scottrade Elite  
NEW! Scottrade Elite

CURRENT MARKETS  
Scottrade  
Streaming Quotes  
Market Indices  
Top Ten  
Earning.com  
Change Accounts  
Logout of Trading  
Site Map

### Current Open Orders

MOD	CXL	Action	Qty	Symbol	Price	Acct Type	T.I.F.	Qualifiers	Order	Status	Session
MOD	CXL	SELL	2	MSFT	Limit: 40.00	CASH	DAY	None	XIA242520031013	QUEUED	Regular
MOD	CXL	BUY	1	RTRSY	Limit: 16.00	CASH	DAY	None	XAB736120031013	QUEUED	Regular

Today's Real-Time Executions

None

Help

Help

Symbol:

Detailed Quote

Quick Links

Internet

Done

file://C:\Documents%20and%20Settings\miller\k\Local%20Settings\Temporary%20Internet%20Files\OLK6\WebsiteOrders.jpg

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Wb  
 Cature  
 Wbface

Figure 8(d)

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File Edit View Favorites Tools Help

Back Forward Stop Refresh Home

Address http://www1.scottrade.com/GWwffload/Scottrade.asp

Go

Home Trading Account Information Quotes Dow Jones News Research Customer Service Help Log Out

### Real-Time Positions

October 13, 2003

Symbol	Name	Qty	Acct Type	Quote	Value	Today's Change In Value
CSCO	CISCO SYSTEMS	5	CASH	21.00	105.00	1.00
MSFT	MICROSOFT CORP	2	CASH	28.78	57.56	-0.20
SAVS	SAVVIS COMMUNICATIONS CORP	1	CASH	1.27	1.27	-0.04
<b>Total Market Value</b>					<b>\$ 163.83</b>	<b>\$ 0.75</b>

Help

© Copyright 2000 Scottrade. All Rights Reserved.

Start | C:\WINNT\System32\cmd.exe | Welcome to S... | DMS Execution R... | Symbol | Detailed Quote | Quick Links

Screen Shots | WebSite Orders | Inbox - Microsoft O... | WebSite Orders | 4:35 PM

Scottrade

Account # 79451712

- First Steps
- Deposit Funds
- eCheck
- Wireless

NEW FEATURES

- New Corporate
- Offerings
- Tutorial - Features of Scottrade
- Introducing ScottradeElite

NEW! ScottradeElite

CURRENT MARKETS

- Scottrade
- Streaming Quotes
- Market Indices
- Top Ten
- Briefing.com
- Change Accounts
- Logout of Trading
- Site Map

file:///C:/Documents%20and%20Settings/millerk/Local%20Settings/Temporary%20Internet%20Files/OLK6/WebSitePositions.jpg



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Web  
 Custom  
 Interface

Figure 8(e)

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Welcome to Scottrade - Online Trading With A Personal Touch (TM) - Microsoft Internet Explorer

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Address: https://www1.scottrade.com/GV/wofford/Scottrade.asp

Home Trading Account Information Quotes Dow Jones News Research Customer Service Help Log Out

**Scottrade**

Account # 78451712

TRADES

- Equities
- Options
- Mutual Funds
- Fixed Income
- Open Orders & Executions

LOOKUP

- Equity
- Option Class
- Option Symbol
- Trading Help
- Touch Tone Guide
- Site Map

### Equity Order Entry

Market Side:	Buy	Help
Quantity:	1	Help
Symbol:	GE	Help
Order Type:	Market	Help
Limit Price:		Help
Stop Price:		Help
Time In Force:	Day Order	Help
Qualifiers:	All or None	Help
Trading Period:	Regular Hours	Help

Get Quote Confirm Abandon

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Symbol: Detailed Quote

Quick Links Internet

file://C:/Documents%20and%20Settings/millerk/Local%20Settings/Temporary%20Internet%20Files/OLK6/WebSiteTrading1.jpg

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Wb  
 Custom interface

Figure 8(f)

Welcome to Scottrade - Online Trading With A Personal Touch [TM] - Microsoft Internet Explorer

Address: https://www1.scottrade.com/GV/wwwRoot/Scottrade.asp

Home Trading Account Information Quotes Dow Jones News Research Customer Service Help Log Out

### Equity Order Entry

Are you sure you want to submit this order?

Symbol	Last	Change	Bid	Ask	Size	High	Low	Volume	Market
GE	+28.93	-0.39	28.92	28.94	347 x 12	29.97	28.65	29,536,300	NYSE

Market Side: Buy  
 Quantity: 1  
 Symbol: GE  
 Price: At the Market  
 Time in Force: Day Order  
 Estimated Commission: \$7.00  
 Trading Period: Regular Hours  
 Account Number: 78451712

Submit Edit Abandon Help

Password: \_\_\_\_\_

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Symbol: \_\_\_\_\_ Detailed Quote

Quick Links Internet

Done

Scottrade

Account # 79451712

TRADES

- Equities
- Options
- Mutual Funds
- Fixed Income
- Open Orders & Executions

LOOKUP

- Equity
- Option Class
- Option Symbol
- Trading Help
- Touch Tone Guide
- Site Map

file://C:/Documents%20and%20Settings/miller/KLocal%20Settings/Temporary%20Internet%20Files/OLK61WebSiteTrading2.jpg

Title: System And Method For The Automated  
Brokerage Of Financial Instruments  
Inventor: Tully et al.  
Express Mail No. EV328618216US  
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Web  
Listed  
Interface

Figure 8(g)

10/14/2003

Welcome to Scottrade - Online Trading With A Personal Touch [TM] - Microsoft Internet Explorer

Back Forward Stop Refresh Home

Address <https://www1.scottrade.com/GW/wwwRoot/Scottrade.asp> Go

Home Trading Account Information Quotes Dow Jones News Research Customer Service Help Log Out

**Scottrade**  
Account # 78451712

TRADES  
Equities  
Options  
Mutual Funds  
Fixed Income  
Open Orders  
& Executions

LOOKUP  
Equity  
Option Class  
Option Symbol  
Trading Help  
Touch Tone Guide  
Site Map

Your order has been entered subject to broker approval.

Market Side:	Buy
Quantity:	1
Symbol:	GE
Price:	At the Market
Time in Force:	Day Order
Estimated Commission:	\$7.00
Account Number:	78451712
Account Type:	CASH
Your reference number is: XXB328920031013	

Any order entered after market close is good for the next business day.

Help OK

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Quick Links Internet

Symbol: Detailed Quote

Done

file:///C:/Documents%20and%20Settings/millerk/Local%20Settings/Temporary%20Internet%20Files/OLK6/WebsiteTrading3.jpg

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System and Method for the Automated  
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Figure 9(a)

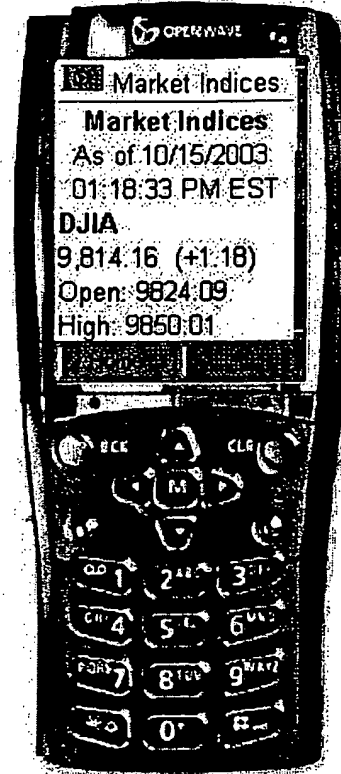


Figure 9(b)



Figure 9(e)



Figure 9(c)

Title:

System And Method For The Automated

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Brokerage Of Financial Instruments

Express Mail No.

Tully et al.

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Figure 9 (d)

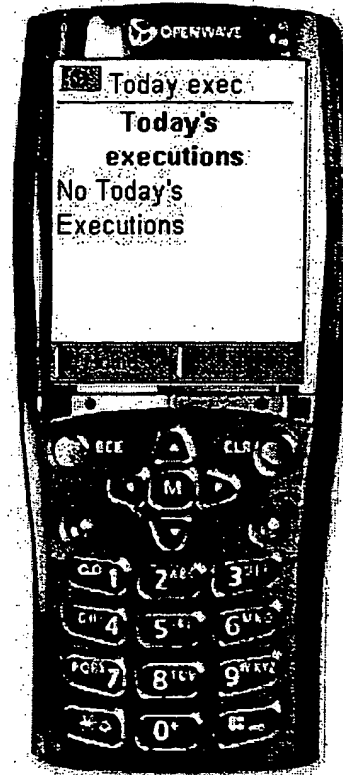


Figure 9 (f)



Figure 9 (g)

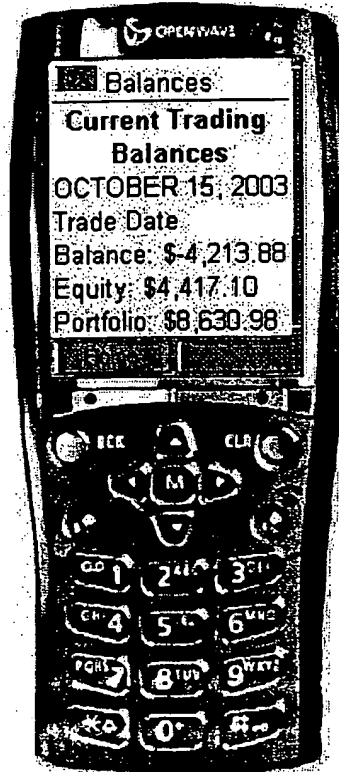


Figure 9 (h)

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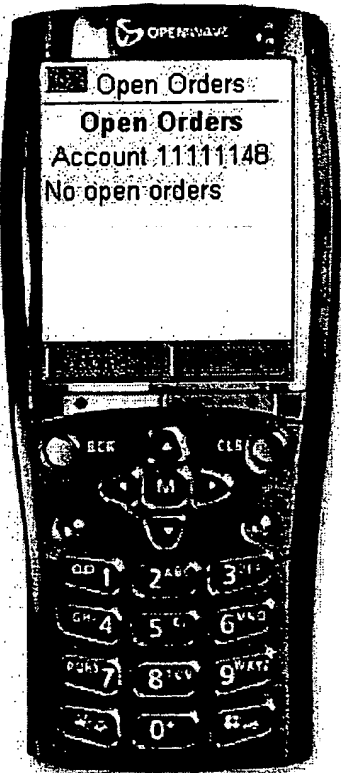


Figure 9(i)

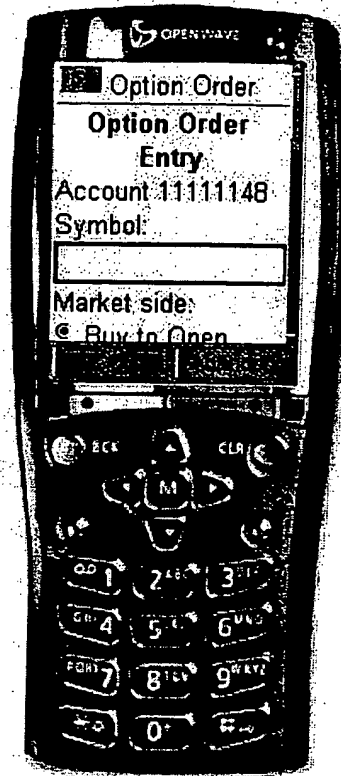


Figure 9(j)

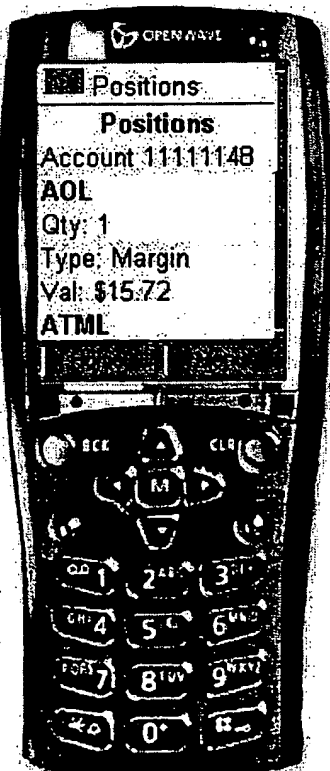


Figure 9(k)

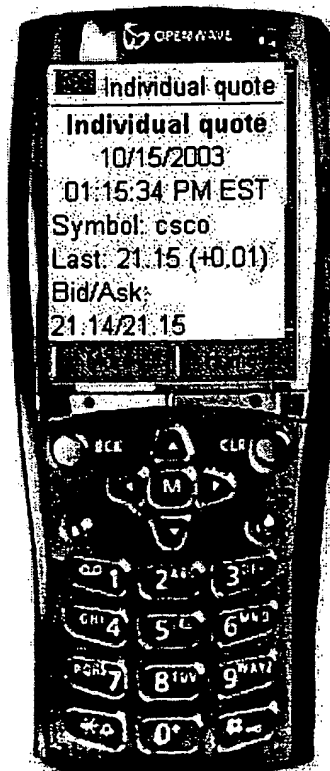


Figure 9(l)

Title:

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Figure 9(m)



Figure 9(n)

10/14/2003

Windows  
Custom  
Interface

Figure 10

ScotttradeELITE v1.0 - Build 56. Email issues/questions or suggestions to elitesupport@scottrade.com

Wizards System Market Data Trading Windows Help

Layout Mgr - Help Quotes - Chart Level II Full Quote TimeSeries News Option Chain Top Performers HighLows

Order Entry Trading Log Balances Positions Executions Open Orders Market Research Symbol Lookup Alerts

**Order Entry**

Symbol	Quantity	Limit Price	Stop Price	Order Type	Route	Dest. ID	Duration	Qualifiers	Account
RTSY	1	15		Limit	Auto		Day		78451712
Buy	Buy to Cover	Sell	Sell Short	QuickCancel		Last: 24.46	Bid: 21.05	Ask: 24.45	Buying Power: 289.02

Order confirmed [24487.26120031013]

**Open Orders for 78451712**

Symbol	Action	Quantity	Limit	Stop	Trf	Status	Ref Number
MSFT	Buy	2	40.00	0.00	Day	Sent	XIA2425200310
RTSY	Buy	1	15.00	0.00	Day	Sent	XAB736120031

**Full Quote: \$DJIB**

Co	80.70	n/a			
Bid	Ask	Last	High	Low	Volume
0.00	0.00	9784.3	9783.4	8675.5	1862233

**Full Quote: \$COMPQ**

Co	18.20	n/a			
Bid	Ask	Last	High	Low	Volume
0.00	0.00	1933.5	1941.0	1922.0	0

**Full Quote: \$SPXC**

Co	7.29	n/a			
Bid	Ask	Last	High	Low	Volume
1044.9	1045.52	1045.3	1048.9	1038.0	0

**Account Balance**

78451712	Portfolio Value as of Previous Close	163.08
	Current Net Balance	304.82
	Total Account Value	467.90
	Unsettled Sale Proceeds	0.00
	Trading Cash	289.82

**Positions for 78451712**

Symbol	Quantity	Avg P	Last	\$Cha	\$Chq	\$ P&L	% P&L
MSFT	5	9.0000	21.00	0.21	12.0000	60.00	133.33
RTSY	2	45.0000	28.78				
SPXS	1	0.0000	1.27			0.0000	0.00

Unrealized P&L \$: 27.56  
Market value \$: 163.83

Elite Sample Full Quotes Layout Elite Sample Layout Elite Sample Layout #2 Elite Sample Layout #3 Elite Sample Layout L 4

Fact: 78451712 OpenPos: 3 OpenOrd: 2 BP: \$289.82 CommLink 0.03 KB/s [7:12:24 EST]



1 title:

Inventor(s):  
Express Mail No.  
Docket #

System And Method For The Automated  
Brokerage Of Financial Instruments

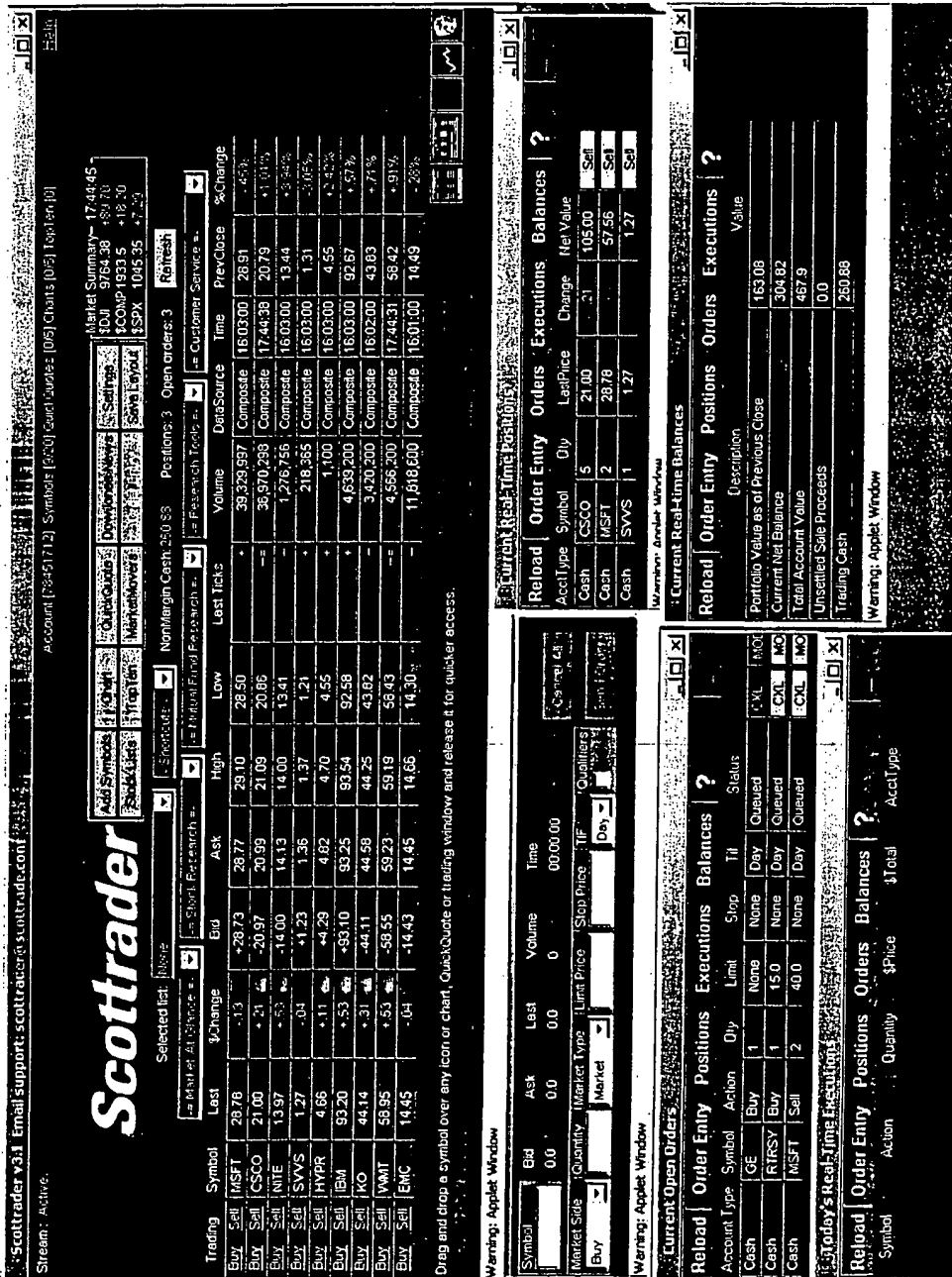
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Java  
Custom  
Interface

Figure 11



file:///C:/Documents%20and%20Settings/miller/Local%20Settings/Temporary%20Internet%20Files/OLK6/ScottradeScreenShot.jpg

Title: System And Method For The Automated  
 Brokerage Of Financial Instruments  
 Tully et al.  
 Express Mail No. EV328618216US  
 Docket # 36194/42366  
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Scottrade - Trading Admin - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Address: http://tradem.scottrade.com/TradingAdmin/TradingAdminFrame.asp

### Trading (mtully) Admin

Indiv Group Approval Queue Symbol Admin Option Admin Trading Control History

Symbol Admin	
Equity Symbol (Not Option):	Symbol: <input type="text"/> Save
Route	Route: <input type="text"/> Save
Buy	<input type="radio"/> Yes <input type="radio"/> No
Sell	<input type="radio"/> Yes <input type="radio"/> No
Sell Short	<input type="radio"/> Yes <input type="radio"/> No Inventory Check Required <input type="radio"/> Yes <input type="radio"/> No
Buy to Cover	<input type="radio"/> Yes <input type="radio"/> No
Buy to Open	<input type="radio"/> Yes <input type="radio"/> No
Buy to Close	<input type="radio"/> Yes <input type="radio"/> No
Sell to Open	<input type="radio"/> Yes <input type="radio"/> No
Sell to Close	<input type="radio"/> Yes <input type="radio"/> No
Extended Hours Trading	<input type="radio"/> Yes <input type="radio"/> No
Option Chain Allowed	<input type="radio"/> Yes <input type="radio"/> No
Min Lot Size:	<input type="text"/>
Margin Requirement	<input type="text"/> %
Add Disallowed Option Root or Symbol:	<input type="text"/> Type: <input type="text"/>

Done

Figure 12(a)



Title: System And Method For The Automated  
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Scotttrade - Trading Admin - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Search History

Address http://tridem.scotttrade.com/TradingAdminFrame.asp

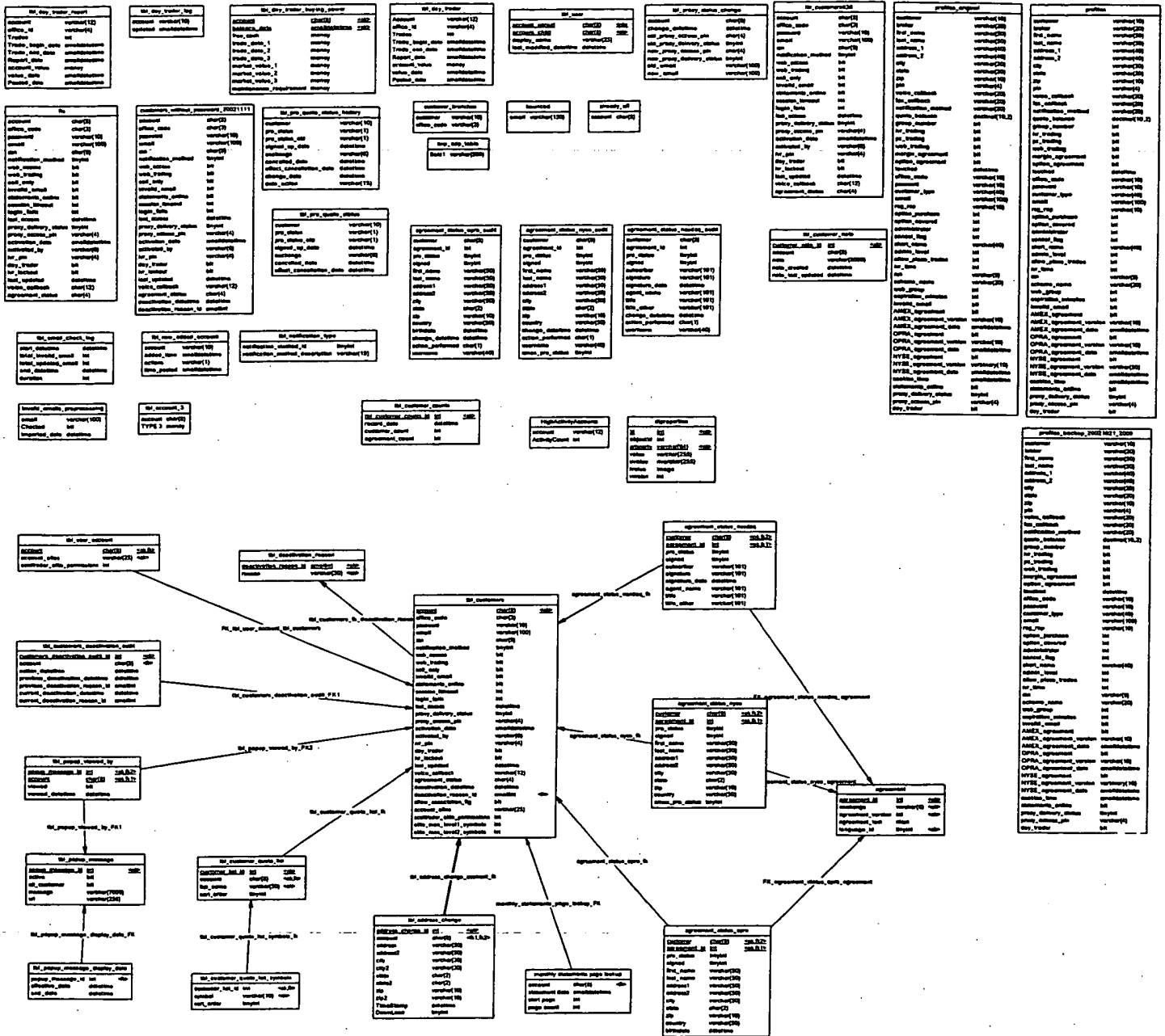
### Trading (mtully) Admin

Indiv Group Approval Queue Symbol Admin Option Admin Trading Control History

Trading Control									
Trading Type	Entry	Modify	Cancel	NYSE	Nasdaq	Amex			
*Master	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			
Equity	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>						
Option	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>						
Bulletin Board	<input checked="" type="checkbox"/>								
Extended Hours	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>						
Scottrade	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>						
Submit									

\*Turning off Master will turn off all underlying trading entry methods even if checked.

Figure 12(c)



Customers DB  
Figure 13

tbl_trading_admin_rotation	tbl_trading_admin_rotation
record_id	int
emp_id	int
queue_last_refreshed	datetime
spk2	

tbl_tif_type	tif_type_id	tif_type_description	tinyint	varchar(20)
--------------	-------------	----------------------	---------	-------------

	tbl_trade_type
trade_type_id	tinyint
trade_type_description	varchar(20)

order_type_lookup	char(1)
crf_order_type	int
wbo_order_type	

tbl_trade_history		char(8)	
account	id	int	
account_type	id	int	
action_id		varchar(20)	
symbol		numeric(15,3)	
quantity		numeric(15,3)	
price		smalldatetime	
trade_date		smalldatetime	
settled_date		smalldatetime	
trade_number		int	
commission		money	
principal		money	
tax		money	
interest		money	
fees		money	
description		varchar(50)	
last_modified		smalldatetime	

tbl_terminals	
localhost	varchar(16)
ip	varchar(15)
port	int
terminalid	varchar(5)
seqNo	int

tbl_source_type	tbl_source_type_id	tbl_source_type_description	tbl_source_type_data_type
tbl_source_type	tbl_source_type_id	tbl_source_type_description	tbl_source_type_data_type

tbl_sma_history	
account	char(8)
sma_charge	money
sma_release	money
date_time	smalldatetime

tbl_route_type	tbl_route_type
route_type_id	tinyint
route_type_description	varchar(25)

tbl_order_status_type	tbl_order_status_type
order_status_type_id	tinyint
order_status_type_description	varchar(20)

tbl_order_results	
web_tracking_number	varchar(15)
result_type	tinyint
result_from_type	tinyint
message	varchar(500)
time_stamp	datetime

tbl_orders_audit	
web_tracking_number	varchar(15)
reviewing_broker_id	int
bid	money
ask	money
net_equity	money
amount	money
open_amount	money
open_shares	money
executions	int
free_cash	money
buying_power	money
fed_call	money
trade_balance	money
market_value	money
entry_line	datetime
ip_address	varchar(16)
localhost	varchar(16)
query_string	varchar(255)
available_buying_power	money
positions_shares	int
daytrader_execution_amount	money

tbl_orders		tbl_orders
web_tracking_number	varchar(15)	varchar(15)
ft_tracking_number	char(15)	char(15)
orig_web_tracking_number	char(15)	char(15)
account	char(8)	char(8)
branch_code	char(3)	char(3)
order_status	tinyint	tinyint
route_type	tinyint	tinyint
account_type	tinyint	tinyint
order_type	tinyint	tinyint
action_type	tinyint	tinyint
symbol	varchar(12)	varchar(12)
quantity	int	int
quantity_filed	int	int
price_type	tinyint	tinyint
limit_price	money	money
stop_price	money	money
ttl_type	tinyint	tinyint
trading_session_type	tinyint	tinyint
exec_destination	varchar(12)	varchar(12)
commission	varchar(10)	varchar(10)
dr	bit	bit
dn	bit	bit
son	bit	bit
ob	bit	bit
wf	bit	bit
fol	bit	bit
referral_program	bit	bit
possible_duplicate	bit	bit
solicited	bit	bit
minimum_quantity	int	int
source_type	tinyint	tinyint
entry_line	datetime	datetime

FK\_ibl\_orders\_ibl\_action

Figure 14(a)

## Orders DB 1

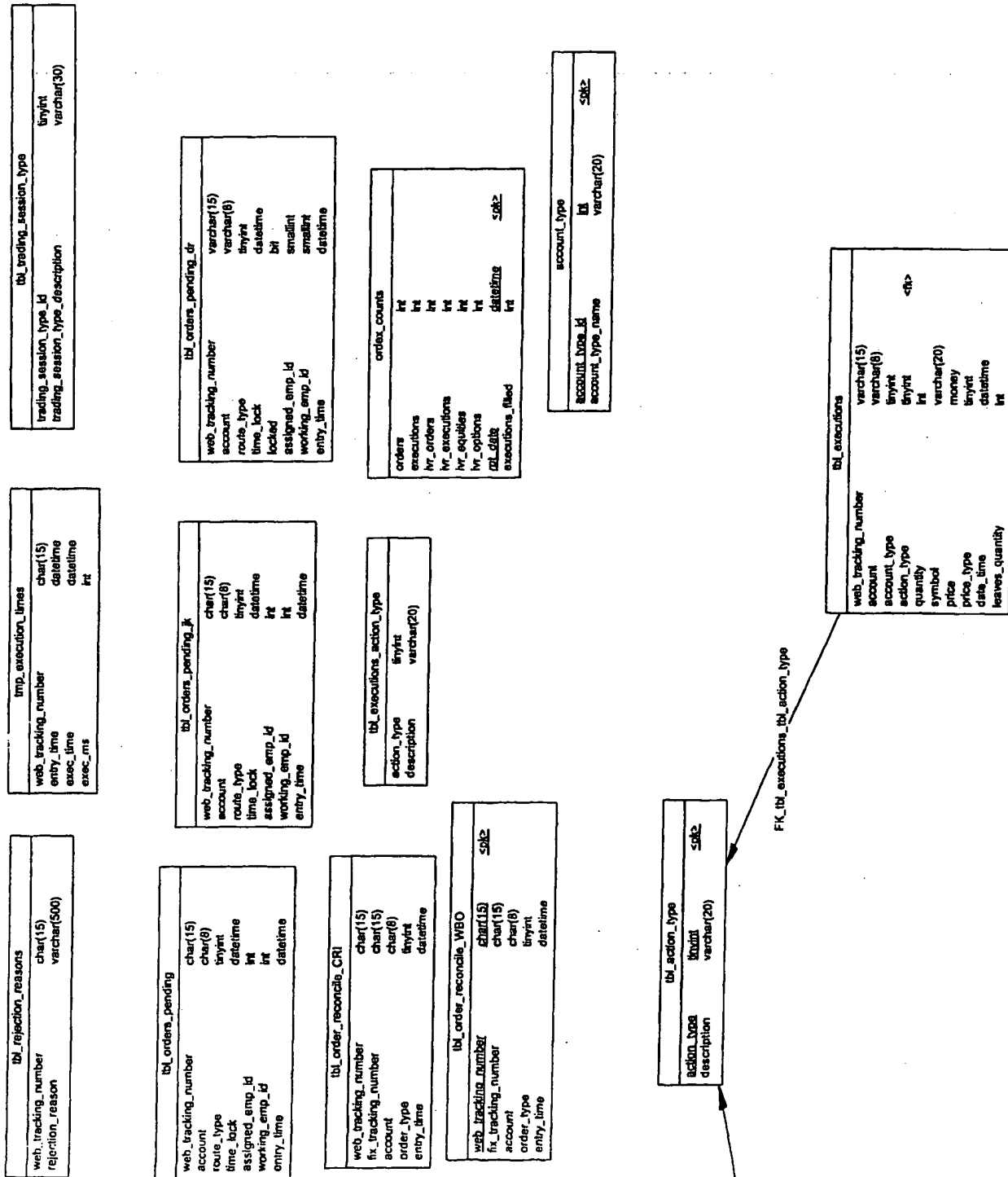


Figure 14(b)

ORDERS DIB 2

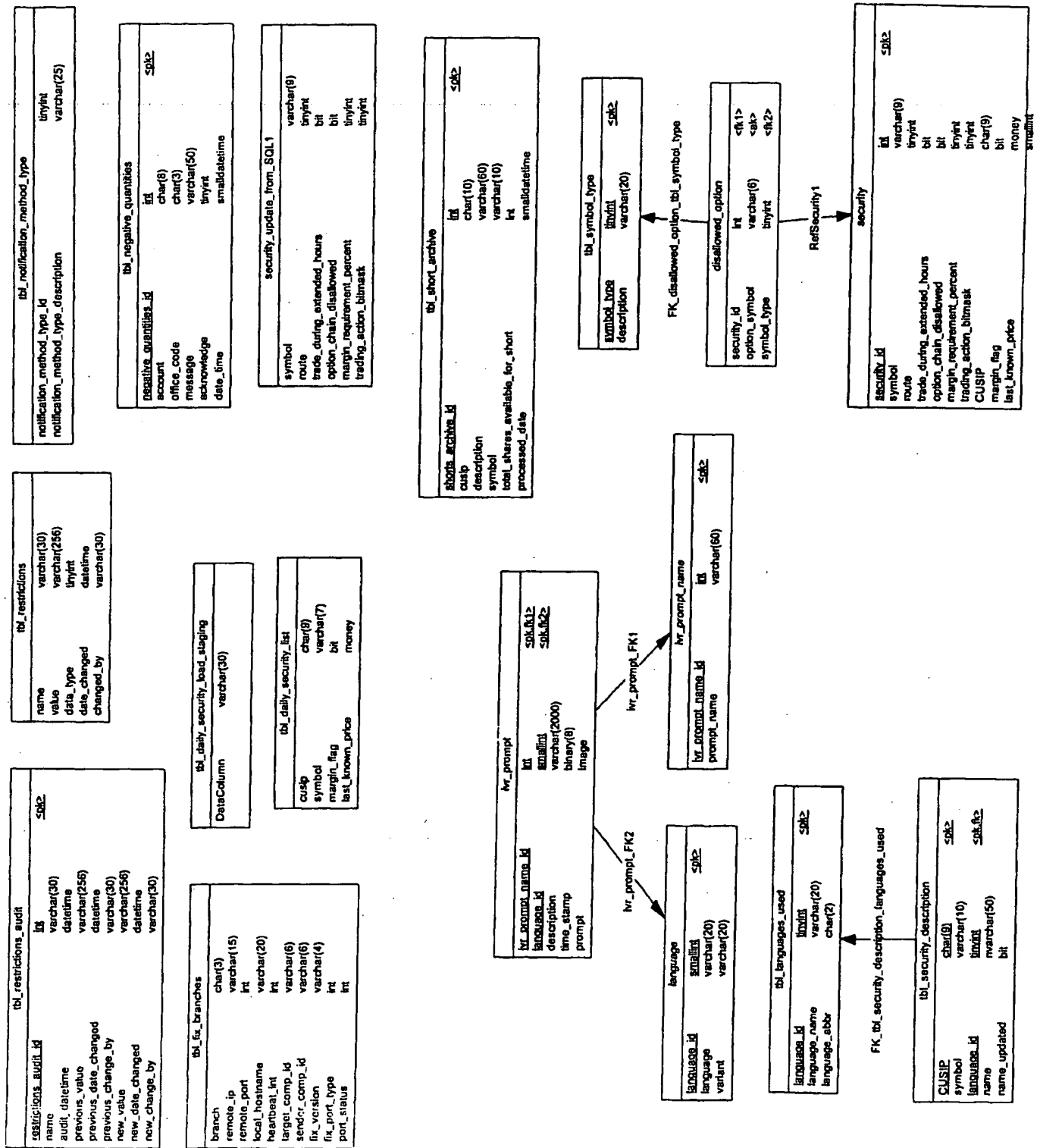
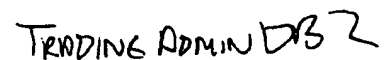


Figure 15(a)

## TRADING ADMIN VB 2





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Figure 16(a)

scottrade - Trading Admin - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Search History Favorites

Address http://trdbm.scotttrade.com/TradingAdmin/TradingAdminFrame.asp

### Trading (mtully) Admin

C Indiv Group Approval Queue (Hide) Symbol Admin Option Admin Trading Control History

Do Not Use Browser Back / Forward Buttons

Approval (Group) Refresh

☐ Disable Auto Refresh (2-2)  
(disable Auto Refresh to enable Flush Queue option)

Emergency Flush Show 15 Orders

Orders: 2 N = New Order : M = Modify Order : X = Cancel Order 10/14/2003 3:36:48 PM

Manual	Account	Market Side	Quantity	Symbol	Price	TIF	Action	Assigned	Working	Display	Done	Flush
	55822397	Sell to Open	1	AMRBM	M	Day	N	broker		Brief	Done	
	76631739	Sell to Open	3	BKKG	M	Day	N	rdcmmg		Brief	Done	

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Figure 16(b)

http://trading.scottssave.com/TradingAdmin/Approval/Approval.asp?WebTrackingNumber=P5881592003101 - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Address http://trading.scottssave.com/TradingAdmin/Approval/Approval.asp?WebTrackingNumber=P5881592003101&SelectedAction=2

Do Not Use Browser Back / Forward Buttons

Reason Selection:

Reason Text:

Order Approval

Done Cancel Edit

Trade Amount	Margin Buying Power	Trading Cash
1,200.00	38,652.00	-346,064.21

Order

Account	Status	Route	Order	Action	Quantity	Symbol	Price	TIF	AON	Account Type	Trading Session	Possible Duplicate	Entry Time	Web Tracking Number	Branch
Orig 72130671	Pending Modify	Fix	New	Sell to Open	120	QQQQ	13.15	Day	Yes	Margin	Regular	No	10/14/2003 3:40:27 PM	300A2400001014	100
Mod 72130671	Sell	Agency	Modify	Sell to Open											

Results

Web Tracking Number	Result Type	Result From Type	Message	Time Stamp
P58815920031014	Re-route	Rules	Option Sell Call to Open	10/14/2003 3:41:54 PM

QQQQ Quote

Market	Last	Change	Size	Bid	Ask	B/A Size	High	Low	Volume	UPC11630	Halsh	Fast Market
CBQE	+0.10	-0.05	10	-0.05	0.15	24134 x 31964	0.10	0.05	7,323	No	No	No

Done

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figure 16(c)

Scottrade - Trading Admin - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Address http://trading.scottrade.com/TradingAdmin/TradingAdminFrame.asp

### Trading (mtully) Admin

☒ Individ ☐ Group ☐ Approval Queue ☐ Symbol Admin ☐ Option Admin ☐ Trading Control ☐ History

Account: 78451712 Symbol: Tracking #:

\*Start Date: 10/13/2003 10:00 AM

\*End Date: 10/14/2003 11:59 PM

Source: ☐ Web ☐ IVR ☐ Scottrade ☐ Scottrade Elite ☐ Wireless ☐ Approval

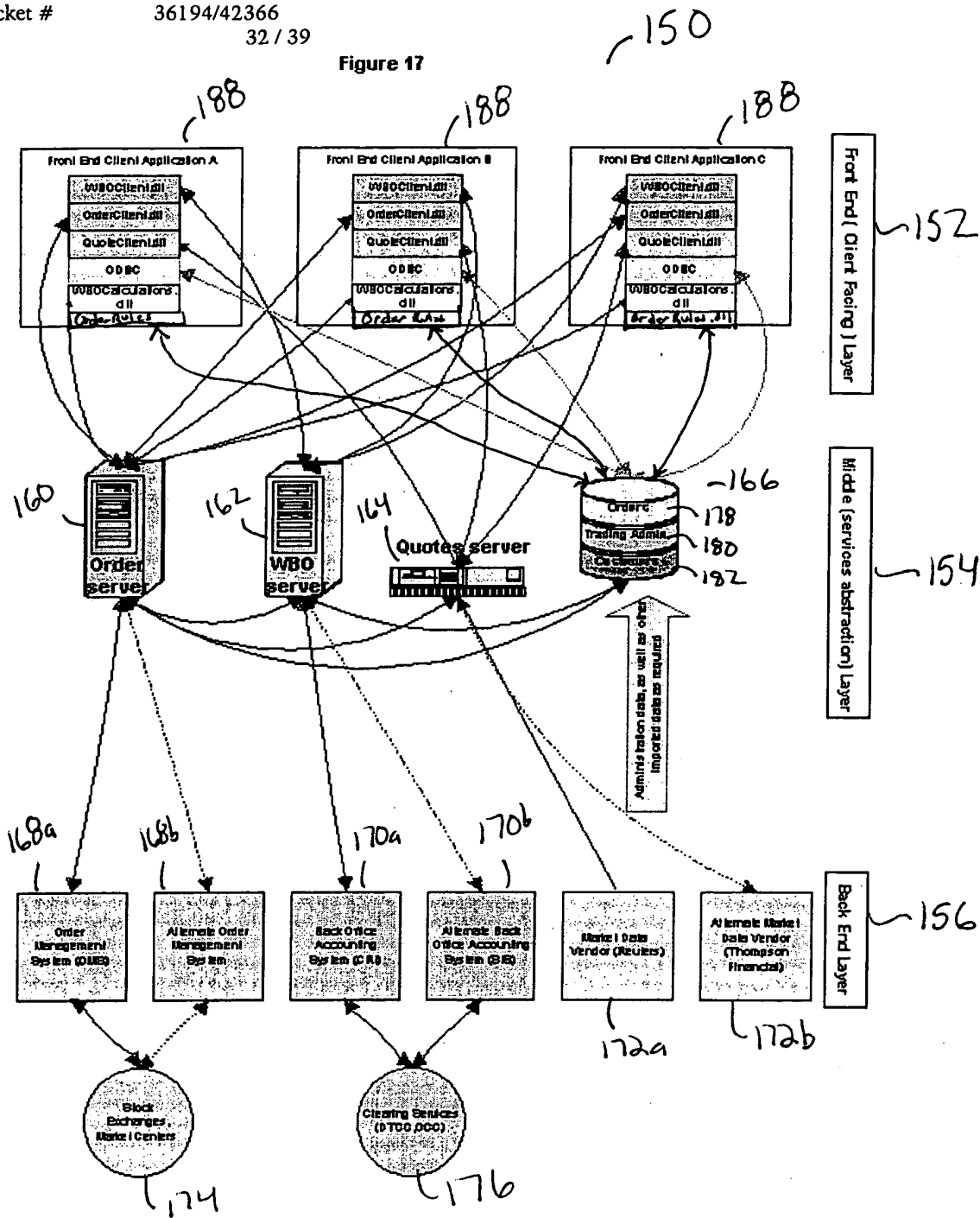
Destination: ☐ Fix ☐ Manual ☐ Approval ☐ Queued ☐ Rejected ☐ Messages

#	Action	Source/Route	Qty	Symbol	Price	TIF	Account	Date	Tracking #	Orig Track #
1	New	Wireless/Fix	Buy	EMC	L5	Day	78451712	10/14/2003 3:30:00 PM	XGA513220031014	
2	Cancel	Approval/Fix	Buy	GE	M	Day	78451712	10/14/2003 8:47:12 AM	XGA113020031014	XXB208920031013
3	Cancel	Web/Fix	Buy	GE	M	Day	78451712	10/14/2003 8:47:04 AM	PS6352020031014	XXB208920031013
4	New	Web/Fix	Buy	GE	M	Day	78451712	10/13/2003 5:37:38 PM	XXB208920031013	
5	New	Elite/Fix	Buy	RTRS	L15	Day	78451712	10/13/2003 5:12:16 PM	XAB756120031013	
6	New	Elite/None	Sell	RTRS	M	Day	78451712	10/13/2003 5:11:50 PM	ES128320031013	
7	New	Elite/None	Sell	RTRS	M	Day	78451712	10/13/2003 5:11:48 PM	ES863120031013	
8	New	Elite/Fix	Sell	MSFT	L40	Day	78451712	10/13/2003 5:02:38 PM	XGA242520031013	

Done

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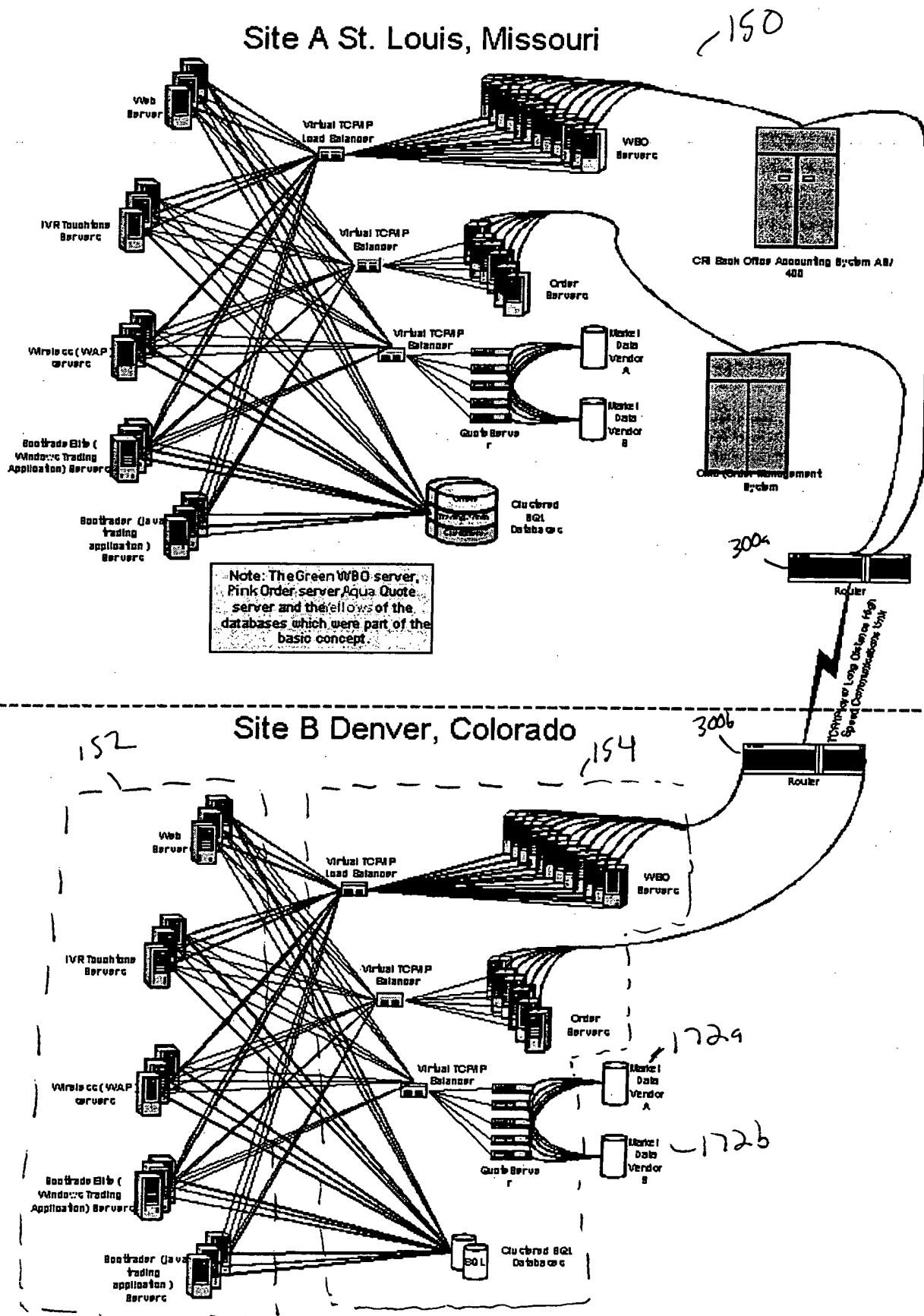
Figure 17



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Figure 18 - Multi Site DR



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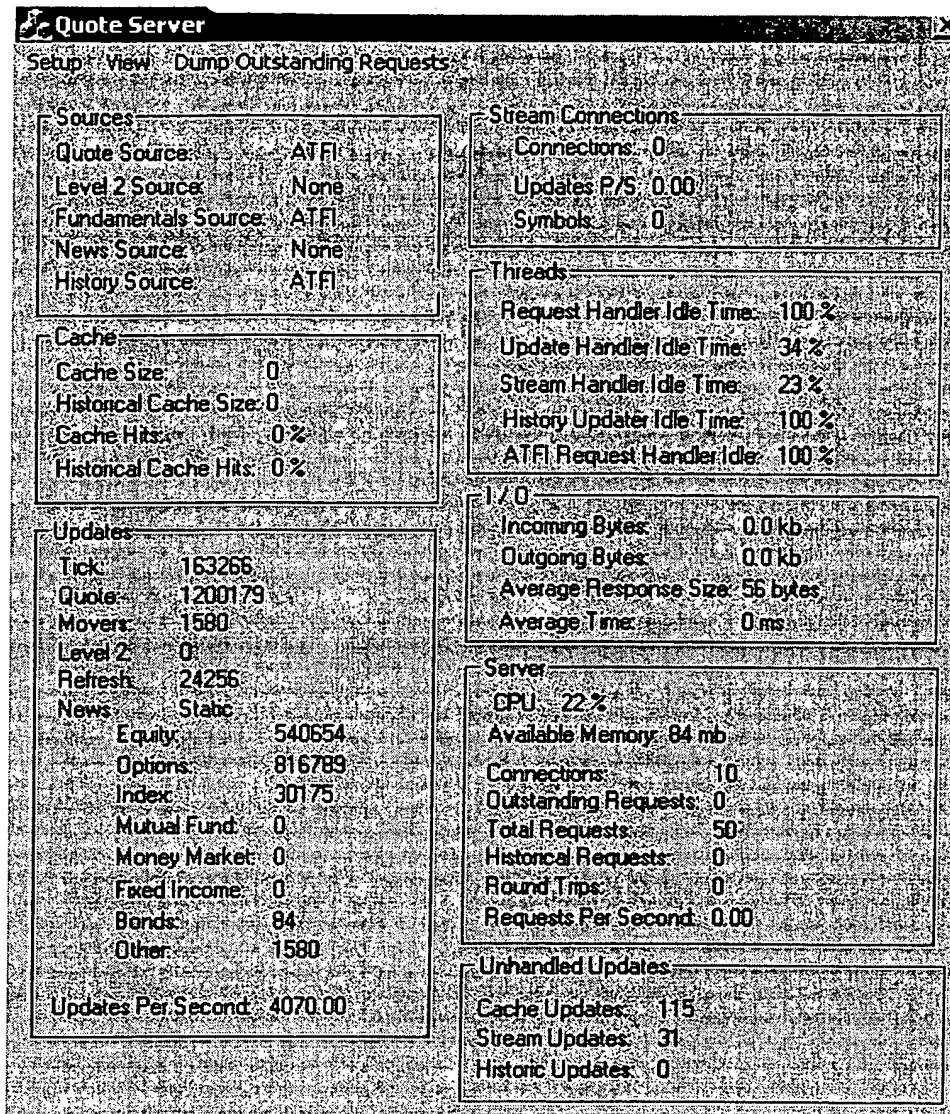


Figure 19(a)

Inventor(s)  
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**Configure**

Quote Source:   ☒ Cache ☒ Cache Movers

Level2 Source:

Fundamentals Source:

News Source:

History Source:   ☒ Cache

**General**

Request Handler Threads:

Update Handler Threads:

Stream Update Threads:

History Update Threads:

Security Cache Expiration:  Option Chain Expiration:

Movers Cache Expiration:  Company Data Expiration:

**ATFI**

Ip:   MDS Connections:

Request Handler Threads:    DBM Connections:

**Server**

Socket Server:

Max Connections:

**Reuters**

Ip:

Figure 19(b)



Inventor(s): Tully et al.  
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**Configure**

Quote Source: ATFI Restart ☒ Cache ☒ Cache Movers

Level2 Source: None Restart

Fundamentals Source: ATFI Bridge Restart

News Source: None Restart

History Source: ATFI Restart ☒ Cache

**General**

Request Handler Threads: 30 + -

Update Handler Threads: 20 + -

Stream Update Threads: 20 + -

History Update Threads: 10 + -

Security Cache Expiration: 3600 Option Chain Expiration: 3600

Movers Cache Expiration: 30 Company Data Expiration: 1800

**ATFI**

Ip: ATFI5 Apply MDS Connections: 1

Request Handler Threads: 12 + - DBM Connections: 11 + -

**Server**

Socket Server: Async Stop Restart

Max Connections: 100 Drop All

**Reuters**

Ip: OK Cancel

Figure 19(c)

Inventor(s): Tully et al.  
Express Mail No. EV328618216US  
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**Configure**

Quote Source:   ☒ Cache ☒ Cache Movers

Level2 Source:

Fundamentals Source:

News Source:

History Source:   ☒ Cache

**General**

Request Handler Threads:

Update Handler Threads:

Stream Update Threads:

History Update Threads:

Security Cache Expiration:  Option Chain Expiration:

Movers Cache Expiration:  Company Data Expiration:

**ATFI**

Ip:   MDS Connections:

Request Handler Threads:    DBM Connections:

**Server**

Socket Server:

Max Connections:

**Reuters**

Ip:

Figure 19(d)

Inventor(s): Jolly et al.  
Express Mail No. EV328618216US  
Docket # 36194/42366

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**Configure**

Quote Source:  Restart ☒ Cache ☒ Cache Movers

Level2 Source:  Restart

Fundamentals Source:  Restart

News Source:  Restart

History Source:  Restart ☒ Cache

General

Request Handler Threads:

Update Handler Threads:

Stream Update Threads:

History Update Threads:

Security Cache Expiration:  Option Chain Expiration:

Movers Cache Expiration:  Company Data Expiration:

ATFI

Ip:  Apply MDS Connections:

Request Handler Threads:    DBM Connections:

Server

Socket Server:  Stop Restart

Max Connections:  Drop All

Reuters

Ip:

OK Cancel

Figure 19(e)

**Configure**

Quote Source:  Restart ☒ Cache ☒ Cache Movers

Level2 Source:  Restart

Fundamentals Source:  Restart

News Source:  Restart

History Source:  Restart ☒ Cache

**General**

Request Handler Thread:

Update Handler Threads:

Stream Update Threads:

History Update Threads:

Security Cache Expiration:  Option Chain Expiration:

Movers Cache Expiration:  Company Data Expiration:

**ATFI**

Ip:  Apply MDS Connections:

Request Handler Threads:    DBM Connections:

**Server**

Socket Server:  Stop Restart

Max Connections:  Drop All

**Reuters**

Ip:

OK Cancel

Figure 19(F)